



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents,  
Attn: Box Missing Parts, Washington, D.C. 20231,  
on

PATENT

Attorney Docket No. 023070-068920US  
UC Case No. 96-195-3

May 16, 1997  
TOWNSEND and TOWNSEND and CREW LLP

By [Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	)	
	)	
Gray et al.	)	Examiner: Unassigned
	)	
Serial No.: 08/785,532	)	Art Unit: Unassigned
	)	
Filed: January 17, 1997	)	TRANSMITTAL LETTER - RESPONSE
	)	<u>TO NOTICE OF MISSING PARTS</u>
For: GENES FROM THE 20q13	)	
AMPLICON AND THEIR USES	)	

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Application - Filing Date Granted dated March 24, 1997, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration (three fully executed Declarations);
- 2) Power of Attorney by Assignee and Exclusion of Inventor(s) Under 37 CFR §3.71;
- 3) Assignment recordation from Joe W. Gray, Colin Conrad Collins, Soo-in Hwang, Tony Godfrey and David Kowbel to The Regents of the University of California; and Assignment recordation from Johanna Rommens to The Hospital for Sick Children;
- 4) Communication under 37 C.F.R. §§1.821-1.825 and Preliminary Amendment;
- 5) The sequence listing in computer readable form;
- 6) Diskette enclosed; and
- 7) Copy of Notice of Missing Parts


06/20/1997 SHOPPER 00000169 DAN:201430 08785532  
01 FC:103 594.00 CH  
02 FC:101 770.00 CH  
03 FC:105 130.00 CH  
04 FC:102 160.00 CH

Please charge Deposit Account No. 20-1430 for the following fees:

(a) Filing Fee (\$ 1.16(a)) (Large Entity)	\$ 770.00
(b) Excess Claims Fees (\$ 1.16(b), (c)):	
<u>47</u> - 20 = 27_ x 22.00 =	594.00
<u>5</u> - 3 = <u>2</u> x 80.00 =	160.00
(c) Missing Parts Surcharge (\$1.16(e))	130.00
<b>TOTAL FEES TO BE CHARGED</b>	<b>\$1,654.00</b>

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment to Deposit Account No. 20-1430 for this paper and during the prosecution of this application. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,



Jonathan A. Quine  
Reg. No. P-41,261

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4/3/97  
UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NO./TITLE

08/785,532

01/17/97

GRAY

J

023070-06891

0262/0324

TOWNSEND & TOWNSEND & CREW  
TWO EMBARCADERO CENTER 8TH FLOOR  
SAN FRANCISCO CA 94111-3834

NOT ASSIGNED

DATE MAILED: 0000

03/24/97

## NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted ALONG WITH THE PAYMENT OF A SURCHARGE for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ large entity ☐ small entity (verified statement filed), is \$ 1654

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 770 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 754, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.  
☐ does not cover the newly submitted items.  
☐ does not identify the application to which it applies.  
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☒ 4. The signature(s) to the oath or declaration is/are:

- ☒ missing.  
☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☒ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☒ 9. OTHER: Claims are misnumbered.

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the response.

In 11/11/97  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 CFR 1.821 - 1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☐ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant must provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing"
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include new matter, as required by 37 CFR 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d)

For questions regarding compliance with these requirements, please contact:

For Rules Interpretation, call (703) 308-1123  
For CRF submission help, call (703) 308-4212  
For Patent/Software help, call (703) 308-6856

Please return a copy of this notice with your response.